

June 16, 1987

NIR

Lifting the freeze on disposal of National Institute of Health (NIH) grant case files

NCF

In August 1983 a freeze was imposed on the destruction of NIH grant case files (item B361/4000b-1, NIH manual no. 1743) and the records were coded as contingent, appraisal pending (CAP). This action was initiated to permit a reevaluation of the records for possible archival value.

A reappraisal of the grant case files (copy enclosed) has determined that they do not have sufficient value to warrant permanent retention. Therefore, we recommend that you lift the freeze on the records and use the existing disposal authority in the NIH manual 1743 to effect their destruction (the authorized disposition, deriving from Job No. NC1-90-77-2, provides for destroying the files six years after close out). Lifting the freeze will enable NCW to immediately destroy several thousand cubic feet of these records now eligible for disposal. We have notified Dr. Kenneth Thibodeau, Records Officer for NIH, of the outcome of the reappraisal and have advised him that we would recommend that you lift the freeze. He expressed no objections to this action.

If you have any questions regarding this matter please contact Jimmy Harrison of my staff on 724-2749.

KENNETH F. ROSSMAN
Director
Records Appraisal
and Disposition Division

Enclosures

cc: Official file-NIR
Reading file-NIR
Day file-NIR
NIRC
~~James A. Harrison~~

JHarrison: 6/11/87 doc: NCFNIH

Memorandum for the Record

June 10, 1987

Re: NIH Response to NIR Letter of April 6, 1987 Concerning
the Disposition of NIH Grant Case Files

I telephoned Dr. Kenneth Thibodeau, records officer for NIH, on June 10, 1987 regarding his response to a NIR Letter of April 6th concerning the reappraisal of NIH case files. I explained to Dr. Thibodeau that the freeze on the destruction of NIH Grant Case Files was going to be lifted given our reappraisal of the records which determined that they were not permanently valuable. I also explained that the lifting of the freeze would result in several thousand feet of these records stored at the WNRC becoming eligible for immediate destruction. Dr. Thibodeau expressed no reservations about the lifting of the freeze, the disposal of the case files, and other proposals mentioned in the Letter of April 6th. He also mentioned that he thought there were no permanent case files of the kind mentioned in the NIR Letter contained in the case files located at the WNRC. He said that NIR's recommendation, which involves the addition of a statement to the NIH records manual requesting that historic case files be offered to NARA for appraisal, was under consideration and would most likely be included in the NIH records manual in the near future.

Jimmy A. Harrison
Records Appraisal and
Disposition Division

B-361 77-2
NCH-90-~~1842~~

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1743
Exhibit 1
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1743-KEEPING AND DESTROYING RECORDS

4000-A-5 Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Disposition: Destroy when 2 years old.

4000-A-6 Grant Control Files: Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects applications and grants.

Disposition: Destroy when superseded or obsolete.

B. Case Files: Funded Grants and Awards

Grants Case Files - Each bureau, institute and division maintains its grant files, and the Division of Research Grants has copies of parts of the files. For purposes of records disposal the following definitions will apply:

Termination or completion - the date when all work under a grant is completed or the date when Federal assistance ends.

Closeout - the process by which it is determined that all applicable administrative actions and all required work of the grant have been completed by the grantee and NIH.

Files all funded grants and awards, including research project grants, fellowships, training grants, general research support grants, program projects, center grants, demonstration grants, national research service awards and similar types of grants and awards, except construction grants.

4000-B-1 Official Files: Individual case folders containing the total application, summary of review actions, award notices, progress reports financial records, audit records, close-out documents and other supporting and related papers maintained as an identifiable entity. National Research Service Award files should include payback records.

Disposition: Place in inactive file on close-out of grant. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after close-out.

1743-KEEPING AND DESTROYING RECORDS

1
4000-B-2 Initial Review Division of Research Grants and BID initial review records and copies of the records from the official files.

Disposition: Destroy no later than 1 year after the relevant official file is closed by the BID.

4000-B-3 Progress reports which are not part of the official grant file.

a. Copies maintained in an organized subject file.

Disposition: Destroy when no longer needed.

b. Copies filed by grant or award number.

Disposition: Destroy no later than 1 year after the relevant official file is closed by the BID.

C. Case Files: Unfunded Grants and Awards

(See 4000-B for description of files and disposition terms.)

This section covers disapproved, withdrawn and non-funded applications.

4000-C-1 Official case file containing the total application, summary of review actions and notification to the applicant that no award will be made.

Disposition: Place in inactive file when the applicant is notified that no award will be made or when the application is withdrawn. Transfer each fiscal year to Federal Records Center after 1 year in inactive file. Destroy 5 years after close-out.

4000-C-2 Copies of records on unfunded grants and awards held by Division of Research Grants and other initial review groups.

Disposition: Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.